

<b>FORM PTO-1449</b>		Atty. Docket No.: 1137.1103101	Serial No.: 09/916,951
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>		Applicant: Scott Fergusson et al.	
		Filing Date	Group Art:
		July 27, 2001	2163 3623

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
Am	AA 5,826,243	10/20/1998	Musmanno et al.	705	35	
Am	AB 5,930,764	07/27/1999	Melchione et al.	705	10	
Am	AC 5,940,809	08/17/1999	Musmanno et al.	705	35	
Am	AD 5,978,779	11/02/1999	Stein et al.	705	37	
Am	AE 6,076,072	06/13/2000	Libman	705	34	
Am	AF 6,122,635	09/19/2000	Burakoff et al.	707	102	

## FOREIGN PATENT DOCUMENTS

Document No.	Date	Country	Class	Sub Class	Translation Yes No

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Am	AG	Nancy R. Mandell, "Online Compliance Help Arrives", <u>On Wall Street</u> , September 2001, page 43.
Am	AH	<a href="http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=23">http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=23</a> , "Corporate News-North American Software to Integrate Navigator Consulting Group's Compliance Solution", downloaded September 25, 2001, 2 pages.
Am	AI	<a href="http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=15">http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=15</a> , "Corporate News-Navigator Consulting Group Announces portfolioAudit.com Web Site", downloaded September 25, 2001, 1 page.
Am	AJ	<a href="http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=21">http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=21</a> , "Corporate News-Navigator Consulting Group, Inc. and DataCow of Toronto Announce Development of Portfolio R.A.M. (Research Auditing & Monitor) Software", downloaded September 25, 2001, 2 pages.
Am	AK	<a href="http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=47">http://www.portfolioaudit.com/navigatorgc/corpNewsDetail.asp?id=47</a> , "Corporate News-Portfolio R.A.M. Software Now Available On-Line", downloaded September 25, 2001, 1 page.

✓	AL	✓	<a href="http://www.portfolioaudit.com/navigatorcg/corpNewsDetail.asp?id=46">http://www.portfolioaudit.com/navigatorcg/corpNewsDetail.asp?id=46</a> , "Corporate News-Navigator Consulting Group Releases brokerAudit Application", downloaded September 25, 2001, 1 page.
✓	AM	✓	<a href="http://www.portfolioaudit.com/navigatorcg/corpNewsDetail.asp?id=48">http://www.portfolioaudit.com/navigatorcg/corpNewsDetail.asp?id=48</a> , "Corporate News-Securities North America/Complinet Reviews BrokerAudit", downloaded September 25, 2001, 2 pages.
✓	AN	✓	<a href="http://www.portfolioaudit.com/navigatorcg/corpNewsDetail.asp?id=52">http://www.portfolioaudit.com/navigatorcg/corpNewsDetail.asp?id=52</a> , "Corporate News-MJK Clearing, Inc. and Protegent, Inc. Announce Alliance to offer BrokerAudit™ to MJK Correspondent Broker-Dealers", downloaded September 25, 2001, 2 pages.
✓	AO	✓	<a href="http://www.brokeraudit.com/brokeraudit/pubilc/aboutbroker.asp">http://www.brokeraudit.com/brokeraudit/pubilc/aboutbroker.asp</a> , "BrokerAudit: About US-Highlights", downloaded September 25, 2001, 3 pages.
✓	AP	✓	<a href="http://www.mantas.com/solutions/equ_trd_comp.html">http://www.mantas.com/solutions/equ_trd_comp.html</a> , "The Mantas Equities Trading Compliance", downloaded September 25, 2001, 2 pages.
✓	AQ	✓	<a href="http://www.siliconphilly.com/newletters/ar3_6_5.htm">http://www.siliconphilly.com/newletters/ar3_6_5.htm</a> , "Mantas; Inc., Announces Funding and Management Team", downloaded September 25, 2001, 7 pages.
✓	AR	✓	<a href="http://www.mantas.com/solutions/solutions_advantage.html">http://www.mantas.com/solutions/solutions_advantage.html</a> , "The Mantas Advantage" downloaded September 25, 2001, 1 page.
✓	AS	✓	<a href="http://www.mantas.com/solutions/best_execution.html">http://www.mantas.com/solutions/best_execution.html</a> , "Mantas Best Execution", downloaded September 25, 2001, 2 pages.
✓	AT	✓	<a href="http://www.mantas.com/solutions/fraud_ml_sec_firms.html">http://www.mantas.com/solutions/fraud_ml_sec_firms.html</a> , "Fraud and Money Laundering Detection for Securities Firms", downloaded September 25, 2001, 2 pages.
✓	AU	✓	<a href="http://www.mantas.com/solutions/solutions_faq.html">http://www.mantas.com/solutions/solutions_faq.html</a> , "Frequently Asked Questions", downloaded September 25, 2001, 5 pages.
✓	AV	✓	<a href="http://www.mantas.com/solutions/solutions_knowledge_disc.html">http://www.mantas.com/solutions/solutions_knowledge_disc.html</a> , "The Mantas Knowledge Discovery Platform", downloaded September 25, 2001, 2 pages.
✓	AW	✓	<a href="http://www.investrack.com">http://www.investrack.com</a> , "Freedom Track, Inc.", downloaded April 30, 2001, 2 pages.
✓	AX	✓	<a href="http://www.investrack.com/FT3k_Home.htm">http://www.investrack.com/FT3k_Home.htm</a> , "Freedom Track 3000", downloaded April 30, 2001, 2 pages.
✓	AY	✓	<a href="http://www.investrack.com/bd_ria_oversight.htm">http://www.investrack.com/bd_ria_oversight.htm</a> , "BD RIA Oversight", downloaded April 30, 2001, 2 pages.
✓	AZ	✓	<a href="http://www.investrack.com/bd_back_office.htm">http://www.investrack.com/bd_back_office.htm</a> , "BD Back Office", downloaded April 30, 2001, 2 pages.
✓	BA	✓	<a href="http://www.investrack.com/ft3k_3rd_generation.htm">http://www.investrack.com/ft3k_3rd_generation.htm</a> , "FT3k 3 <sup>rd</sup> Generation", downloaded April 30, 2001, 2 pages.
✓	BB	✓	<a href="http://www.sungardss.com/">http://www.sungardss.com/</a> "SunGard Securities Systems-Home Page", downloaded April 30, 2001, 1 page.
✓	BC	✓	<a href="http://www.sungardss.com/html/products.htm">http://www.sungardss.com/html/products.htm</a> , "SunGard Securities Systems, Products", downloaded April 30, 2001, 2 pages.
✓	BD	✓	<a href="http://www.sungardss.com/html/eindrad1.html">http://www.sungardss.com/html/eindrad1.html</a> , "EinTrader.com-The First Eback-Office Connection", downloaded April 30, 2001, 2 pages.
✓	BE	✓	<a href="http://www.sungardss.com/html/p_i_bo.htm">http://www.sungardss.com/html/p_i_bo.htm</a> , "InTrader-Back Office", downloaded April 30, 2001, 3 pages.
✓	BF	✓	<a href="http://www.sungardss.com/html/p_i_st.htm">http://www.sungardss.com/html/p_i_st.htm</a> , "InTrader-Software and Technology", downloaded April 30, 2001, 2 pages.
✓	BG	✓	<a href="http://www.sungardss.com/html/p_it_iv.htm">http://www.sungardss.com/html/p_it_iv.htm</a> , "InTrader-Investment Portfolio", downloaded April 30, 2001, 3 pages.
✓	BH	✓	<a href="http://www.sungardss.com/html/p_scs.htm">http://www.sungardss.com/html/p_scs.htm</a> , "SunGard Correspondent Services", downloaded April 30, 2001, 2 pages.
✓	BI	✓	<a href="http://www.sungardss.com/html/p_fitrac.htm">http://www.sungardss.com/html/p_fitrac.htm</a> , "FiTrac for InTrader and BOLT", downloaded April 30, 2001, 2 pages.
✓	BJ	✓	<a href="http://www.sungardss.com/html/p_ssn.htm">http://www.sungardss.com/html/p_ssn.htm</a> , "SunGard Solutions Network (SSN)", downloaded April 30, 2001, 2 pages.
✓	BK	✓	<a href="http://www.sungardss.com/html/p_exrpt.htm">http://www.sungardss.com/html/p_exrpt.htm</a> , "Investment Portfolio-Executive Reporting", downloaded April 30, 2001, 2 pages.

RM ✓	BL	<a href="http://www.sungardss.com/html/p_i fo.htm">http://www.sungardss.com/html/p_i fo.htm</a> , "InTrader-Front Office", downloaded April 30, 2001, 3 pages.
RM ✓	BM	<a href="http://www.sungardss.com/html/p_i bd.htm">http://www.sungardss.com/html/p_i bd.htm</a> , "InTrader-Broker-Dealer", downloaded April 30, 2001, 3 pages.
RM ✓	BN	<a href="http://www.sungardss.com/html/p_i aa.htm">http://www.sungardss.com/html/p_i aa.htm</a> , "InTrader-Alerts and Alarms", downloaded April 30, 2001, 3 pages.
RM ✓	BO	<a href="http://www.sungardss.com/html/n_innet.htm">http://www.sungardss.com/html/n_innet.htm</a> , "SunGard Securities System" downloaded April 30, 2001, 1 page.
RM ✓	BP	<a href="http://www.sungardss.com/html/p_i rsm.htm">http://www.sungardss.com/html/p_i rsm.htm</a> , "InTrader-Remote Systems Management", downloaded April 30, 2001, 2 pages.
RM ✓	BQ	<a href="http://www.sungardss.com/html/p_ipnet.htm">http://www.sungardss.com/html/p_ipnet.htm</a> , "SunGard Securities Systems-InTrader Investment Portfolio Services", downloaded April 30, 2001, 2 pages.
RM ✓	BR	<a href="http://www.sungardss.com/p_bt_ovr.htm">http://www.sungardss.com/p_bt_ovr.htm</a> , "BOLT-Overview", downloaded April 30, 2001, 3 pages.
RM ✓	BS	<a href="http://www.sungardss.com/html/p_bt_iv.htm">http://www.sungardss.com/html/p_bt_iv.htm</a> , "BOLT-Investment Portfolio", downloaded April 30, 2001, 2 pages.
RM ✓	BT	<a href="http://www.sungardss.com/html/p_scs.htm">http://www.sungardss.com/html/p_scs.htm</a> , "SunGard Correspondent Services", downloaded April 30, 2001, 2 pages.
RM ✓	BU	<a href="http://www.sungardss.com/html/p_aps.htm">http://www.sungardss.com/html/p_aps.htm</a> , "SunGard Securities Systems-APS 2", downloaded April 30, 2001, 4 pages.
RM ✓	BV	<a href="http://www.advisortoday.com/archives/2001_february_mm.html">http://www.advisortoday.com/archives/2001_february_mm.html</a> , Janet C. Arrowood, "Managing Money: Taking the Sting out of an Audit", February 2001, 3 pages.
RM ✓	BW	<a href="http://www.finop.com/main.htm">http://www.finop.com/main.htm</a> , "The FINOP Companies Home Page", downloaded April 30, 2001, 2 pages.
RM ✓	BX	<a href="http://www.finop.com/a.htm">http://www.finop.com/a.htm</a> , "Historical Perspective-The FINOP Companies", downloaded April 30, 2001, 4 pages.
RM ✓	BY	<a href="http://www.finop.com/product.htm">http://www.finop.com/product.htm</a> , "National FINOP, Inc.-A Product Description", downloaded April 30, 2001, 1 page.
RM ✓	BZ	<a href="http://www.finop.com/tourmenu.htm">http://www.finop.com/tourmenu.htm</a> , "FINOP SOFTWARE 'TOUR MENU'", downloaded April 30, 2001, 1 page.
RM ✓	CA	<a href="http://www.finop.com/m1.htm">http://www.finop.com/m1.htm</a> , "Access Current Period Trade Processing Files and Reports", downloaded April 30, 2001, 1 page.
RM ✓	CB	<a href="http://www.finop.com/m1-a.htm">http://www.finop.com/m1-a.htm</a> , "Access Trade Processing and Error Reports", downloaded April 30, 2001, 1 page.
RM ✓	CC	<a href="http://www.finop.com/m1-a1.htm">http://www.finop.com/m1-a1.htm</a> , "Conventional 'Commissioned Based' Trade Processing", downloaded April 30, 2001, 1 page.
RM ✓	CD	<a href="http://www.finop.com/m1-a2.htm">http://www.finop.com/m1-a2.htm</a> , "Process Direct Mutual Fund and Similar Trades:", downloaded April 30, 2001, 1 page.
RM ✓	CE	<a href="http://www.finop.com/m1-b.htm">http://www.finop.com/m1-b.htm</a> , "Trade Status an Error Reports", downloaded April 30, 2001, 1 page.
RM ✓	CF	<a href="http://www.finop.com/m1-c.htm">http://www.finop.com/m1-c.htm</a> , "Error Edit", downloaded April 30, 2001, 1 page.
RM ✓	CG	<a href="http://www.finop.com/m2.htm">http://www.finop.com/m2.htm</a> , "Access Current Period Principal (House) and K2I Blotters", downloaded April 30, 2001, 1 page.
RM ✓	CH	<a href="http://www.finop.com/m2-a.htm">http://www.finop.com/m2-a.htm</a> , "Principal Trade Blotters", downloaded April 30, 2001, 1 page.
RM ✓	CI	<a href="http://www.finop.com/m2.b.htm">http://www.finop.com/m2.b.htm</a> , "Principal Trade Blotters", downloaded April 30, 2001, 1 page.
RM ✓	CJ	<a href="http://www.finop.com/m3.htm">http://www.finop.com/m3.htm</a> , "Access Agency and Riskless Blotters and Reports", downloaded April 30, 2001, 1 page.
RM ✓	CK	<a href="http://www.finop.com/m3-a.htm">http://www.finop.com/m3-a.htm</a> , "Access Agency and Riskless Blotters and Reports", downloaded April 30, 2001, 1 page.
RM ✓	CL	<a href="http://www.finop.com/m3-b.htm">http://www.finop.com/m3-b.htm</a> , "Access Agency and Riskless Blotter and Reports", downloaded April 30, 2001, 1 page.
RM ✓	CM	<a href="http://www.finop.com/m3-c.htm">http://www.finop.com/m3-c.htm</a> , "Access Agency and Riskless Blotter and Reports", downloaded April 30, 2001, 1 page.
RM ✓	CN	<a href="http://www.finop.com/m4.htm">http://www.finop.com/m4.htm</a> , "Access Underwriting Files and Reports", downloaded April 30, 2001, 1 page.
RM ✓	CO	<a href="http://www.finop.com/m4-a.htm">http://www.finop.com/m4-a.htm</a> , "Access Underwriting Files and Reports", downloaded April 30, 2001, 1 page.

<i>Am</i> ✓	CP	<a href="http://www.finop.com/m4-b.htm">http://www.finop.com/m4-b.htm</a> , "Access Underwriting Files and Reports", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CQ	<a href="http://www.finop.com/m4-c.htm">http://www.finop.com/m4-c.htm</a> , "Access Underwriting Files and Reports", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CR	<a href="http://www.finop.com/m5.htm">http://www.finop.com/m5.htm</a> , "Access Reports From History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CS	<a href="http://www.finop.com/m5-a.htm">http://www.finop.com/m5-a.htm</a> , "Access Reports From History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CT	<a href="http://www.finop.com/m5-b.htm">http://www.finop.com/m5-b.htm</a> , "Access Reports From History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CU	<a href="http://www.finop.com/m5-c.htm">http://www.finop.com/m5-c.htm</a> , "Access Reports From History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CV	<a href="http://www.finop.com/m6.htm">http://www.finop.com/m6.htm</a> , "Access System 'Set-Up' Files and Reports", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CW	<a href="http://www.finop.com/m6-a.htm">http://www.finop.com/m6-a.htm</a> , "Access System 'Set-Up' Files and Reports", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CX	<a href="http://www.finop.com/m6-b.htm">http://www.finop.com/m6-b.htm</a> , "Access Reports From History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CY	<a href="http://www.finop.com/m6-c.htm">http://www.finop.com/m6-c.htm</a> , "Access Reports From History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	CZ	<a href="http://www.finop.com/m8.htm">http://www.finop.com/m8.htm</a> , "Special Applications and User Reports", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	DA	<a href="http://www.finop.com/m10.htm">http://www.finop.com/m10.htm</a> , "Delete Settled Transactions and Append to History", downloaded April 30, 2001, 1 page.
<i>Am</i> ✓	DB	<a href="http://www.finop.com/consult.htm">http://www.finop.com/consult.htm</a> , "FINOP Consulting Page", downloaded April 30, 2001, 1 page.

EXAMINER:

*Anda Thorawski*

DATE CONSIDERED:

*Sept 9, 2005*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.